

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: RALPH J. CARL

Serial No.: 10/063,280

Filed: 04/08/02

For AXIAL FLUX MACHINE, STATOR AND  
FABRICATION METHOD

Group Art Unit:

Examiner:

0420  
04/17/02  
2834  
5.242

## INFORMATION DISCLOSURE STATEMENT

- ☒ 1 **Pursuant to 37CFR 1.97(b)**  
[within 3 months of national, non-CPA filing or prior to 1st Office Action] *no charge*
- ☐ 2 **Certification Pursuant to 37 CFR 1.97(c)(1)**  
[before Final Office Action, Allowance, or other action closing prosecution] *no charge*
- ☐ 3 **Fee Payment Pursuant to 37 CFR 1.97(c)(2)**  
[before Final Office Action, Allowance, or other action closing prosecution] *\$180.00*
- ☐ 4 **Certification & Fee Payment Pursuant to 37 CFR 1.97(d)**  
[On or before issue fee payment] *\$180.00*

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ATTN: BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98:

- ☒ 5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.

\_\_\_\_\_  
Date of Deposit\_\_\_\_\_  
Type or Print Name\_\_\_\_\_  
Signature

This paper is submitted in accordance with:

- ☒ 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]
- ☐ 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and
- ☐ 8 The required Certification made in item 11 below; or
- ☐ 9 The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.
- ☐ 10 37 CFR 1.97(d): [on or before issue fee payment]; and
- a) The required Certification is stated in item 11 below; and
- b) The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- ☐ 11 Certification
- ☐ 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or
- ☐ 13 No item contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.
- ☒ 14 Payment of all applicable fees:
- ☒ 15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0868

An original and two (2) copies of this document are enclosed.

Respectfully submitted,

5 April 2002

Date

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CRD Patent Docket Rm 4A59  
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FORM PTO-1449  
(REV. 7-80)US. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
122190SERIAL NO.  
10/063,280

INFORMATION DISCLOSURE STATEMENT BY APPLICANT  
LIST OF ITEMS

Applicant  
RALPH J. CARLFiling Date  
04/08/02

Group

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA 1566693	04/11/1922	PLETSCHER			
	AB 2872604	03/12/1954	SPETH			
	AC 2873395	04/23/1954	KOBER			
	AD 3428840	01/09/1967	KOBER			
	AG 4187441	02/05/1980	ONEY			
	AE 4429263	01/31/1984	MILLER			
	AH 4947065	08/07/1990	WARD, ET AL			
	AF 5177392	01/05/1993	SCOTT			

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	B1					
	B2					
	B3					

## OTHER INFORMATION (Including Author, Title, Date, Pertinent Pages, etc.)

	C1	JF GIERAS, ET AL, "SYNCHRONOUS MOTORS OF SPECIAL CONSTRUCTION", PERMANENT MAGNET MOTOR TECHNOLOGY DESIGN AND APPLICATIONS, CHAPTER 7, PP. 242-249.
	C2	J. HENDERSHOT, JR., ET AL, "DESIGN OF BRUSHLESS PERMANENT -MAGNET MOTORS", 1994, PP. 2-10-2-12.
	C3	GB KLIMAN "PERMANENT MAGNET AC DISC MOTOR ELECTRIC VEHICLE DRIVE", SAE TECHNICAL PAPER SERIES, INTERNATIONAL CONGRESS & EXPOSITION, DETROIT, MI, FEB - MAR 1983, PP. 1-9.
	C4	U.S. PATENT APPLICATION, SER. NO. 09/286966, FILED 4/6/99, ENTITLED "AXIAL FLUX MACHINE AND METHOD OF FABRICATION " BY GB KLIMAN, ET AL, ATTORNEY DOCKET NO. RD-26823.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant

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